



State of New Jersey
DEPARTMENT OF LAW AND PUBLIC SAFETY
DIVISION OF CONSUMER AFFAIRS
BUREAU OF SECURITIES
PO Box 47029
153 HALSEY STREET
NEWARK, NEW JERSEY 07101
(973) 504 - 3600
E-MAIL: AskConsumerAffairs@dca.lps.state.nj.us

COMPLAINT REPORTED BY:

COMPLAINT REPORTED AGAINST:

NAME: _____
ADDRESS: _____
CITY: _____
STATE: _____ ZIP: _____
HOME TELEPHONE NUMBER: _____
WORK TELEPHONE NUMBER: _____
E-MAIL ADDRESS: _____

FIRM NAME: _____
ADDRESS: _____
CITY: _____
STATE: _____ ZIP: _____
TELEPHONE NUMBER (1): _____
TELEPHONE NUMBER (2): _____

The Bureau of Securities investigates complaints against individuals and firms selling securities or offering investment advice as well as companies issuing securities investments. The Bureau is empowered to bring administrative actions or civil law suits to enforce the registration and anti-fraud provisions of the New Jersey Uniform Securities Act. The Bureau may refer certain matters for criminal prosecution.

1. Type of firm (if known). Please check the appropriate box:

- ☐ Securities Brokerage Firm ☐ Investment Advisory Firm ☐ Financial Planning Firm
☐ Other (specify): _____

2. Name and title of firm's agents or employees with whom you dealt: _____

If known, type of professional designation used:

- ☐ Stockbroker (Agent) ☐ Investment Advisor ☐ Other (specify): _____

3. How was the initial solicitation made:

- ☐ Telephone ☐ Mail ☐ Seminar
☐ Other (specify): _____

4. Type of investment product involved in your complaint:

- ☐ Stocks ☐ Bonds ☐ Mutual Funds ☐ Limited Partnerships
☐ Other (specify) _____

5. Did you receive a prospectus when you purchased the investment? ☐ Yes ☐ No

*Please continue on reverse side
Do not write below this line*

Date received: _____

Case #: _____

Investigator: _____

Status #: _____

Data INIT: _____

